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ABSTRACT

A description of the growth and development of the New York State Interlibrary Loan Network (NYSILL) from its inception in 1976 to its status in 1977, is followed by discussions of the various aspects of the network, reexamining its ability to meet its objectives and proposing recommendations for improvement. These discussions include (1) the structure of NYSILL and its relationship to other networks (e.g., Ohio College Library Center, OCLC); (2) direct regional access to NYSILL referral libraries; (3) document delivery alternatives; (4) NYSILL subject referral libraries; (5) NYSILL and copyright; (6) future automation of NYSILL; and (7) teletype access to NYSILL. The recommendations are presented at the end. Two appendices provide the Cornell direct access proposals, the NYSILL Task Force by-pass proposal, the Greenberg direct access proposal, and a memorandum on planning for an expanded teletype access to NYSILL. (JD)

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NEW YORK STATE INTERLIBRARY LOAN

NYSILL

1967 - 1977

BEST COPY AVAILABLE

A

Report

of the

NYSILL Task Force

August 18, 1978

The University of the State of New York
The State Education Department
New York State Library
Empire State Plaza
Albany, New York 12230

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THE NEW YORK STATE LIBRARY LIBRARY DEVELOPMENT

MEMORANDUM OF TRANSMITTAL

August 18, 1978

TO: Joseph F. Shubert, Assistant Commissioner for Libraries

FROM: E.J. Josey, Chairperson, NYSILL Task Force E.J. Josey

SUBJECT: NYSILL Task Force Report

On behalf of the NYSILL Task Force: Edwin Albrecht, Chief, Bureau of Administrative Analysis, William DeAlleaume, Principal Librarian for Collections, Acquisitions and Processing, Robert J. Flores, Chief, Bureau of Regional Library Services, J. Van der Veer Judd, Principal Librarian for Network Services, Peter Paulson, Director of the State Library, and Jane G. Rollins, Associate in Library Services, I am pleased to transmit herewith the NYSILL Task Force Report.

The New York State Interlibrary Loan Program (NYSILL) developed initially as a statewide pilot project as part of the State level aspect of the Reference and Research Library Resources Program. Within two years the program reached maturity and became a full-fledged program. While it was established as the State level component of the 3R's program, over the years, it has developed independently as a statewide network that supports access to advanced library materials. While there are several statewide interlibrary loan networks in the country, NYSILL was the first network to compensate private research libraries for the use of their materials. The nine subject referral libraries and the three public libraries that serve as area referral libraries have provided yeoman service to the citizens of the State in support of the NYSILL network.

The task force report developed in the recognition that after a decade of service, a reexamination of the program should be undertaken. Accordingly, John Ames Humphry, then State Librarian, appointed a Department Task Force to address the questions reported upon in this document. The members of the task force have studied and examined the NYSILL program in detail and have met with colleagues around the State, in order to obtain a balanced assessment of the program. After months of deliberations and conferring with colleagues in the field, the task force prepared a preliminary draft report and subsequently a revised second draft report that was sent to 50 persons for their comment and evaluation. Of these 50 persons, 31 responded and provided their critique, which has proven very useful to me and members of the task force. I wish to express my thanks and appreciation to our many colleagues in the field, who met with members of the task force, to those who wrote letters expressing their opinion about the future direction of the NYSILL program, and especially to those who critiqued and provided commentary on the draft report.

It is our hope that this report will provide a framework for further review and consideration of NYSILL to improve the future growth and development of the network.

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INTRODUCTION

The New York State Library inaugurated the New York State Interlibrary Loan program on March 22, 1967. NYSILL, as it became widely known, was established as an expanded interlibrary loan project for the purpose of making research library materials more freely accessible to library users throughout the State. Contracts were made with three large public libraries that serve as "area referral libraries" and nine private research libraries with specialized subject strengths that participate as "subject referral libraries." This was the first time that most of the private research libraries had lent their materials to the public. NYSILL was the first statewide effort to guarantee user access to research resources by placing that access on a contractual reimbursed basis.

NYSILL has provided the citizens access to research library materials regardless of where they live in the State, overcoming problems of uneven geographical distribution of advanced research library resources. No longer are library users denied access to advanced library materials merely because the books and periodicals are the property of private libraries or because of the remote location of the user. NYSILL ushered in an era of access to library resources that was unparalleled in the history of library service in New York State.

Evaluations have been conducted throughout the ten-year period. Two major statewide interlibrary loan studies were conducted early in the NYSILL program;[1] the results and recommendations of these studies set the course for NYSILL. In 1974, the first regional interlibrary loan study was made by Checchi and Company, Washington, D.C.[2] There was also a special study on unfilled requests[3] and one

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[1] See References, p. 46.

doctoral dissertation.[4] In addition, the NYSILL coordinator monitors the program, and annually prepares an article reporting the state of the program in The Bookmark.

NYSILL reached its 10th year anniversary in 1977 and at that time the State Librarian asked that the program be evaluated to determine the effectiveness of the statewide interlibrary loan network, and if appropriate, to strengthen the current network or suggest revisions that might be made in network operations to improve the program. Such an analysis should help determine the future course of NYSILL. A Department Task Force composed of staff of the State Library, the Bureau of Regional Library Services, the Bureau of Specialist Library Services, and the Bureau of Administrative Analysis, was appointed in the Spring of 1977 to make this examination.

The Task Force delineated problem areas facing NYSILL and established eight areas for study. These are as follows:

1. Relations between NYSILL and OCLC

2. Direct Access, particularly from South Central to Cornell and from Long Island libraries to NYSILL referral libraries in New York City.

    A. Review of Checchi Regional Interlibrary Loan Study recommendations

    B. Better interface between regional ILL and NYSILL

3. Strategies to employ to live with the new Copyright Law

4. Structure of the Network and improving operations of NYSILL

5. Critical Areas for the Future

    A. Review of the performance of the subject referral libraries, examining the subject responsibilities, the addition of new subject responsibilities and/or the possible additions of other subject referral libraries

B. Review of NYSILL funding and reimbursement of the contract libraries

C. Review of the feasibility of affiliation with the Research Libraries Group and membership in Center for Research Libraries and other emerging national systems

6. Future relationship between NYSILL and the Regional Medical Library Program

7. Document delivery alternatives

8. The further automation of NYSILL

During the deliberations of the Task Force, it was recognized early that it was important to meet with the referral libraries, for there were questions that only the referral libraries could assist the Task Force in answering. A meeting was held with representatives from the referral libraries on December 13, 1977. Five of the questions posed by the Task Force and discussed by the group were as follows:

1. Are the subjects for which the referral libraries are now responsible under their contract still germane to their subject strength?

2. What problems would the referral libraries encounter if we added "known locations" requests to the subject responsibilities of the subject referral libraries?

3. What are the reasons for the decline in the fill rate of the referral libraries?

4. Are there new subject areas that are not presently covered in the present assignment of subject responsibilities?

5. What are the reasons for the increase in turn around time?

The Task Force also met with the directors of public library systems and executive directors of the 3R's systems and interlibrary loan librarians to discuss the work of the Task Force and to obtain suggestions, ideas, and recommendations about the future of the program. This group not only provided invaluable insight in terms of the operation of the statewide program but also brought to the attention of the Task Force information from consumer libraries. In addition to the two meetings mentioned above, the Task Force invited letters and comments from the field.

The report which follows should assist with decisions intended to provide library users more effective access to advanced library resources via NYSILL.

OVERVIEW OF NYSILL 1967 - 1977

> ... A coordinated system for collecting and disseminating the information of mankind is needed now in the interest of both higher education and industrial research. Our studies have shown that there are private and public library collections in the State which contain rich collections of the world's knowledge... The resources must be eventually tied together electronically, administratively and fiscally, so that efficient and rapid transmission of recorded knowledge is possible.

When this statement appeared in the Report of the Commissioner's Committee on Reference and Research Library Resources in 1960, New York's Reference and Research Library Resources Program (3R's) was but a dream. By the middle sixties the dream took on reality with the establishment of nine 3R's systems across the State. In the subsequent decade library systems development in New York has achieved a remarkable degree of cooperation among all types of libraries. Membership in either a public library system or a 3R's system has given libraries a broad umbrella of services and programs at the regional level.

In 1967 the dream of accessing the great library collections in New York State was given further meaning through the development of the New York State Interlibrary Loan Network (NYSILL). NYSILL has effectively provided improved statewide access to some of the major library research resources in the State by means of contract, and has tied these resources to all libraries across the State. The development of a controlling computer and telecommunications network has facilitated this access. The 31 library systems are linked to the State Library which serves as the nerve center of the NYSILL Network.

Generally, NYSILL is a hierarchical interlibrary loan program and is based on the assumption that there will be the fullest utilization of regional resources before requests are sent to the State Library. The majority of NYSILL requests are submitted via teletype from authorized transmission sites which serve as centralized input sites for the library systems. Since October 1974 requests have been submitted directly to the State Education Department (SED) computer which sorts and alphabetizes them for searching at the State Library. The NYSILL referral libraries receive their referral requests through an on-line computer system and make their reports of action taken directly to the computer which forwards them to the 65 NYSILL transmission sites. Mail requests are accepted from those libraries which are not served by a transmission site. The harnessing of technology to NYSILL operations has allowed program growth with minimal staff increases at the State Library.

In its first year of operation, NYSILL received approximately 46,000 requests and reached a peak of 175,000 requests in 1975. In the 1976-77 period the volume decreased to approximately 150,000 requests. The fill rate in the first year was 55 percent, and since then has fluctuated between 60-65 percent. The last several years it has averaged about 60 percent.

Table I displays NYSILL performance comparison over the 10-year period and shows the overall fill rate for the NYSILL system as well as the fill rates of the referral libraries and the State Library.

NYSILL was designed as an interlibrary loan network to provide access to research materials and was not meant to serve the general needs of New York's citizens.

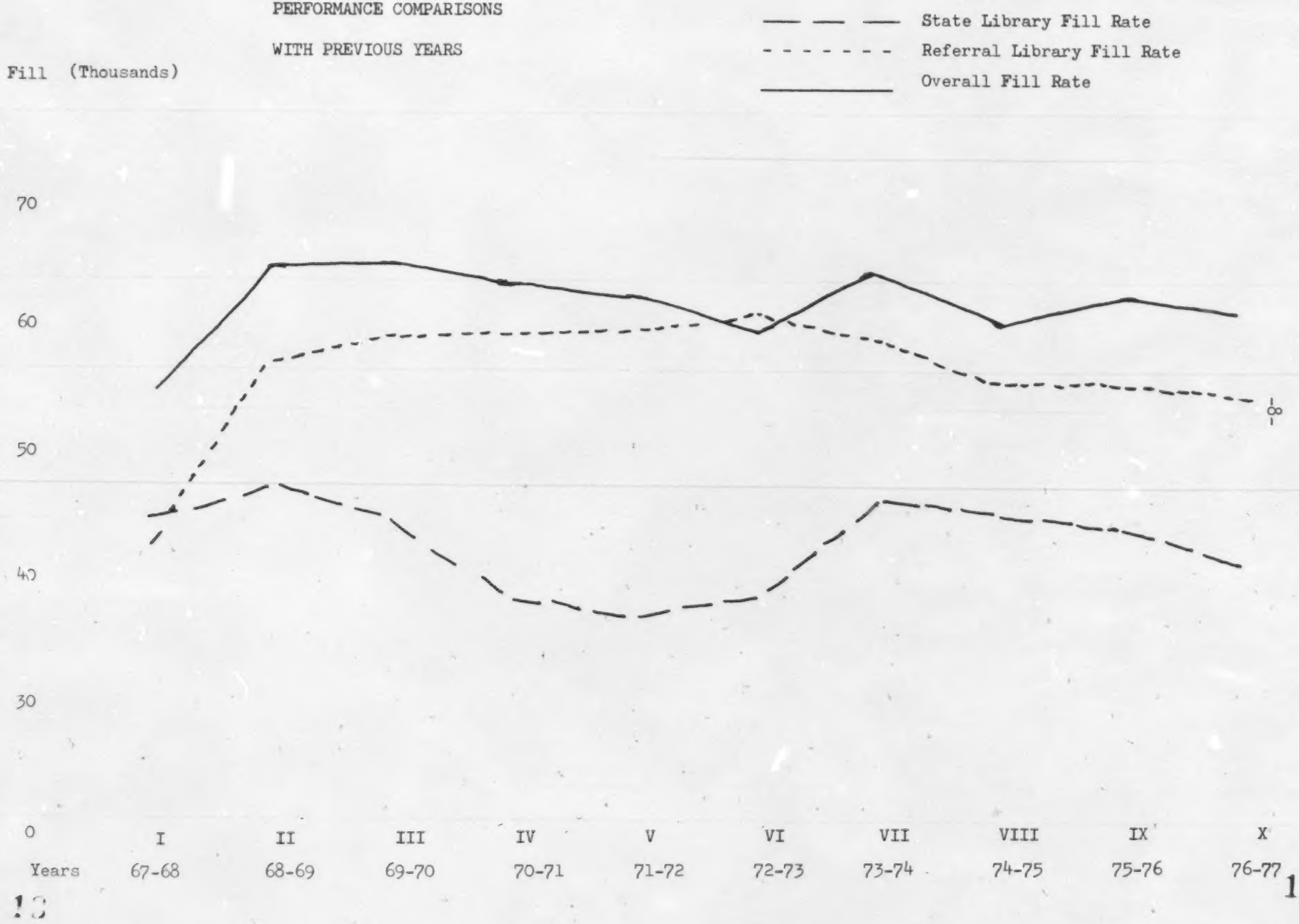
Access to NYSILL is available to anyone over 18 years of age who needs advanced level materials; requests may be made at his/her local library whether that be a public, college/university, or special library regardless of location in the State. For purposes of analysis for the annual review of NYSILL, users of the network have been divided into six groups - faculty, postsecondary student, professional, industrial researcher, other (general public), and most recently resident of correctional institution. The largest single requestor group has been that termed "other." This group represents approximately 35 percent of NYSILL users. The second largest requestor group is that of postsecondary student. NYSILL is one of the few interlibrary loan programs in the country to serve the undergraduate student. In the past two years the user group showing the greatest rate of growth has been the industrial researcher; an indication perhaps that New York's research resources are becoming increasingly important to business and industry.

Over the first decade of NYSILL development the subject needs of these users has remained amazingly consistent. Six broad subject areas repeatedly receive the greatest number of requests. These are the medical sciences, technology, social sciences, American and English literature, economics, and political science. These areas may place a little differently each year, but they do represent the areas of top demand. Our annual studies of the program have also shown that NYSILL fulfills the least requests for the "other" group, and this is primarily because the majority of these requests are for more popular materials that are not necessarily available in the subject referral libraries. However, the time it takes to fill a request knows no favorite, the charts indicate that interlibrary loan materials clear the network in approximately nine days for all requestor groups.

TABLE I

PERFORMANCE COMPARISONS

WITH PREVIOUS YEARS



The success of any interlibrary loan program depends on the resources available to it. In Nelson Associates NIL Study[5] of 1970 it was reported that NYSILL libraries owned 85 percent of the material requested of them. During the 1970's this ownership percentage has declined markedly as has been reported in the annual reports of NYSILL in The Bookmark. Since 1972-73 it has dropped several points a year and fell to 67 percent in 1977. The economy of the 1970's has not been kind to libraries. The combination of budget cuts and the inflated cost of library materials is having a critical effect on collection development, not only among the research libraries but on libraries at all levels. And, this is taking place at a time when technology is making access to the ever growing flood of information more readily available to the average user, thus increasing the demands for these materials. The State Library has suffered reductions in its book budget, and NYSILL itself experienced two years of zero budget increases in 1971-72 and 1972-73.

In many ways this is a vicious circle, and answers are often difficult to find. However, each year NYSILL has a steady increase in the number of requests referred into the network. This indicates that the network continues to provide access for the advanced, hard-to-find items.* During its first 10 years of operation NYSILL received a total of 1,363,939 requests and filled 837,989, 61 percent. In the early years of the program about 30 percent of the total requests received were referred. This referral statistic has grown appreciably during the last several years, and in 1976-77, 39 percent of all requests received at the State Library were referred into the network.

*As libraries skim off "more available" transactions as a result of more comprehensive holdings information in shared cataloging computer networks, NYSILL will receive a higher proportion of esoteric requests.

Along with decreasing resources, the turnaround time in filling a request has about doubled over the last 2-3 years. This is true for both the State Library and the referral libraries. Staff shortages are responsible for a good deal of the increased processing time, but another very important factor is verification, or more to the point, the lack thereof. During the past year the State Library has been more stringent in enforcing verification standards, but there is room for improvement at both the local and regional levels. In addition to turnaround time, NYSILL's mode of delivery through the U.S. Mail adds delays.

NYSILL began as the statewide aspect of the 3R's program. NYSILL continues to provide statewide access to major research resources, thereby helping to fulfill the 3R's objectives. In the late 1960's network development was just beginning, and NYSILL pioneered interlibrary loan networking. Now as NYSILL goes into its second decade, networking is expanding and national planning is underway for greater coordination of resources. The State Library staff is very much aware of and involved in this planning and is committed to providing improved access to research materials.

In the 1960's and early 1970's self-sufficiency for any single library was admitted to be a myth. As we close out the 1970's we are finding that single networks cannot claim self-sufficiency either. Interlibrary loan has changed a good deal over the years, yet the challenge remains. NYSILL looks back with some pride and some disappointment, but it looks to the future with hope, optimism and a commitment to continue to seek ways to provide better service to the library community of New York State.

STRUCTURE OF THE NYSILL NETWORK AND RELATIONSHIP TO OTHER NETWORKS

Interloan systems can generally be classified into three broad types: open, centralized, and hierarchical. The open system, typical of traditional interloan patterns based on custom rather than contract or legal relationship, allows any requesting institution to borrow from any willing lender. The centralized network is built around a single resource, perhaps the most typical example in the United States of this type is the Minnesota interlibrary loan network (MINITEX). A hierarchical network forwards requests through a structured referral pattern, accessing multiple resources in a pre-determined order.

When the NYSILL network was begun in 1967, as one of the first statewide networks to guarantee the right of access and to provide reimbursement for interloan activities, its structure and operating protocols were established as hierarchical. This network structure was built on certain key features and strengths in the library landscape of New York State. These features included:

1. A distinguished array of research libraries, one of the richest collective resources in a single area in the world, with the overwhelming majority of such resources in privately endowed institutions.

2. The largest State Library in the nation, with strong retrospective collections at the middle research level, and with an ongoing program of service to State government and to other libraries.

3. Legislative recognition of the need to support public access to research resources.

4. Strong public library systems, with proved experience in cooperative resource sharing, and established interloan and document delivery patterns.

5. The established reference and research library resources systems, with experience in facilitating the sharing of public and private library resources.

The NYSILL network, building on these key elements, attempted to establish a rational system for improving access to research resources. The objectives of the structured system of referrals were to provide user satisfaction at the local level, to insure the full use of the major public investment in the State Library collections, to maximize the use of NYSILL funds by only funding those requests which could not be filled at local or regional levels in the network, to establish a logical chain for referral of requests in the absence of adequate bibliographic and location information, to distribute equitably the interlibrary loan burden among the contract and resource libraries, and to provide accountability and performance monitoring for network operations.

In the decade since the establishment of NYSILL, a number of developments have taken place at the local, State, regional, and national levels which will have an impact on future planning and development for the network. Among such factors are:

1. The Development of Major Computerized Data Bases which Provide Location and Bibliographic Information for New York State Libraries.

It is presently estimated that there are 52 million such records in the United States,[6] with nearly five million representing holdings of libraries in New York State. Most of these records represent recent or current cataloging (the 1.5 million created by members of the SUNY/OCLC network since 1974, for example), and retrospective holdings remain largely unconverted.

2. The Anticipated Implementation of OCLC Interloan Module.

It is expected that OCLC will implement its interloan module in the near future. Although some OCLC libraries are filling interlibrary loan requests in the network now, it is not yet clear what charges or conventions will generally be adopted in this network.

3. Growth of Other Specialized Subject Networks.

Principal among specialized subject networks in New York State has been the Regional Medical Library Program. Although the New York Academy of Medicine is a NYSILL contract library, and an interface has been established at that level, relationships between the two networks at the local level are complex, with practices in Western New York (because of regional NYSILL funding and because of special arrangements in the Albany area between the Albany Medical College and the State Library) differing from those in the remainder of the State.

4. The Emergence of National and Multi-State Networks.

The Library of Congress Network Advisory Group, the work of the National Commission on Libraries and Information Science, and the Council of Computerized Library Networks are currently engaged in national network planning. Two NYSILL contract libraries, Columbia University and the New York Public Library Research Libraries, are members of the Research Libraries Group. NELINET, a close neighbor of NYSILL, has initiated a grant supported experimental interloan network.

5. Proposed Development of National Resources Centers.

The Center for Research Libraries (CRL), and the proposed National Periodicals Center, are both elements in an emerging national resource program. An earlier experimental relationship with CRL indicates that under its present pricing structure, NYSILL membership is not cost-effective.

These developments raise complex issues in regard to future structure and relationships for NYSILL. After careful consideration of these, the Task Force recommends the following:

1. An interface between existing computerized bibliographic and location information be pursued, in conjunction with the implementation of an interface between NYSILL and OCLC as suggested in that section of this report. The enhancement of these data bases by the addition of retrospective holdings information should be accelerated, building on current projects under Higher Education Act Title II C (Research Library Resources Access Project) and CONSER.

2. In conjunction with officers of the Regional Medical Library Program, and other affected parties, relationships with that program be further developed and improved to provide statewide quality service for medical and health science requests and to insure the best use of local, State and Federal money.

3. The hierarchical structure of NYSILL be retained, since the key elements on which it is based are still relevant to effective interloan service in the State, but that the impact of other developing networks should be carefully assessed. The State Library should participate in national network planning and insure full State participation in such networks.

4. That the use of resource centers outside the State be explored, but that negotiations with the Center for Research Libraries should be resumed only if the Center changes its pricing structure.

DIRECT REGIONAL ACCESS TO NYSILL REFERRAL LIBRARIES

During the last several years librarians in the State have been frustrated by problems with the U.S. Mail and with delays in the delivery of NYSILL materials. As a result there has developed a growing desire by libraries to avoid sending requests through the network via the State Library. Instead, requests would proceed directly from the regions to the subject referral libraries thereby, in their opinion, speeding up the overall turnaround time in the network.

The State Library staff has shared concern for the increased elapsed time in NYSILL and has also been equally concerned about the delays in the transfer of materials from the referral libraries to the requesting libraries. In the winter of 1971 an attempt to solve the problem, an experimental delivery service from Albany to Garden City and return was initiated under LSCA funding.* Although the experiment was well received, request for funding to implement the statewide delivery service was denied. A dedicated delivery service is second in priority to complete bibliographic information to support the network.

While the State Library Agency is concerned about the speedy delivery of materials to NYSILL users, it has also tried to maintain cost efficiency. Since the State Library is a publicly funded institution it is essential to make use of resources held by the State Library before referring requests to the NYSILL subject contract libraries. Over the years, the State Library's fill rate has averaged around 40 percent.

*The delivery experiment is discussed in greater detail on pages 21-25 of this report.

In the development of the hierarchical structure of the NYSILL network, the designers of the system provided a configuration in which a publicly funded State Library resource would be used prior to referring requests to the NYSILL contractual libraries, thereby ensuring that the program remains cost-effective. At the same time, in planning the system it was quite evident that there would be an overload on the subject referral libraries if there were not a built-in structure that would provide a means for siphoning off requests that could be filled at the State Library and the area referral libraries. Because of the vagaries of the mail and the turnaround time in the NYSILL system, some users of the NYSILL network believe that direct access to the NYSILL referral libraries would provide more expeditious service. On the other hand, in the South Central region the dissatisfaction stems from their believing that they are denied direct access to a major resource in their own region; and they claim that 56 percent of their requests to NYSILL could be filled by The Cornell University Library.

South Central Research Library Council

The South Central Research Library Council for several years has requested permission to go directly to Cornell for NYSILL materials, rather than through the State Library. In a letter dated October 20, 1977, the Executive Director in stating his case for direct access as a result of an SCRLC study indicated that "South Central is lucky in having a library of Cornell's caliber in its region but to be unable to use it directly for Interlibrary Loan is sad. We find that 39% of South Central monographic requests are available at Cornell yet we must go to Albany with these requests. Of the titles owned by Cornell, ... Cornell fill 56% of these ... The status for serials is not much better, Cornell could supply South Central with 60% of its NYSILL requests and yet only is asked, by NYSILL to fill 41% of that. The time lag from BARC* input into NYSILL to receipt at NIC [Cornell] from NYSILL to fill is again unpardonably long. Since BARC prior to transmission to NYSILL established NIC [Cornell] ownership the delay at NYSILL is unnecessary..."

In a letter dated November 17, 1977, J. Gormley Miller, Director of Libraries, Cornell University, puts forth three proposals to support the South Central Research Library Council's request for direct access to the libraries of Cornell University.

The Cornell proposal recommends that reimbursement for regional access be the same as NYSILL statewide rates, $2.50 for searching and $3.00 for filling requests. Two of the proposals suggest utilization of the State Library fiche catalog, as well as OCLC, as key elements in referral beyond the region. The full text of Cornell's three proposals appears in Appendix I of this report.

*BARC is the Bibliographic and Reference Center of the South Central Research Library Council.

Long Island Library Resources Council, Inc.

The Long Island Library Resouces Council has expressed the desire to go directly to the referral libraries in New York City and by-pass the New York State Library. In a letter dated December 13, 1977, the Executive Director, in one of his recommendations, suggests that the transmission sites should determine which referral libraries should receive requests. David Wilder writes:

> To relax the system in some way so that the requesting transmission site has some control over which referral library receives the requests. Whether this goes as far as by-pass I am not sure; but there should be ways referral libraries could be approached for other subjects, when it is known that they hold the needed material and that this represents a more convenient way of filling the request. We do, I think, clearly recognize the need for controls on this to insure continuance of the hierarchical principle upon which NYSILL is based, that we acquire the materials from the local region and at a level lower than the referral library if this is at all possible.

NYSILL Task Force By-Pass Proposal

In view of the several inquiries regarding the feasibility of libraries by-passing a publicly funded source and going directly to the NYSILL referral subject libraries, the Task Force developed a by-pass mechanism that would be cost-beneficial, continuing to utilize the resources of the State Library.

The by-pass proposal provides direct access to the subject referral libraries by the NYSILL transmission sites. The NYSILL computer remains the means of referral in direct access. A special NYSILL code will be developed in order for direct access requests to by-pass the State Library. NYSILL will subsidize the direct access loans if the material could not have been provided by the State Library. If it is established

that the State Library owns the requested material, then the NYSILL transmission site is responsible for reimbursing the referral library. Billing procedures and handling charges have been developed. The proposal is based on certain assumptions: that regional clearance will remain an integral part of local interlibrary loan procedures, and that any direct access referral would be eligible for referral under current network operating regulations. The full text of the NYSILL by-pass proposal is printed in the Appendix of this report.

Referral Libraries Reaction to By-Pass Proposal

At a meeting with representatives from the subject and area referral libraries, on December 13, 1977, the by-pass proposal was discussed at length by the participants. The referral libraries, by and large, opted for the continuation of the hierarchical structure of the NYSILL network. Generally, representatives from the referral libraries believe that requests of a general nature should be siphoned off before reaching their libraries. In addition, they were concerned about verification. Currently, the State Library provides verification assistance on about 30 percent of the requests from libraries around the State that either do not have the sophisticated tools for checking verification or the staff to perform this function. There also was concern about the overload placed on certain libraries within the referral network in view of their comprehensive collections and their inability to cope with this overload. Because of staff attrition and the required service to their primary clientele, this would be a burden to participate in the by-pass proposal. Several referral libraries indicated that if such a by-pass proposal were instituted, by-pass requests would not receive top priority in their handling.

of NYSILL requests. Since the December 13, 1977 meeting, the NYSILL Task Force has received information from only two of the twelve referral libraries indicating that they would be willing to try the by-pass proposal.

By-Pass Proposal and System Directors and Interlibrary Loan Librarians

The by-pass proposal was also discussed at a meeting on January 5, 1978, with library systems directors and interlibrary loan librarians from the system. Strong opposition was expressed against the by-pass proposal by the participants. They felt it was unacceptable, because from their point of view it appeared that the burden was placed on the transmission sites. Those who felt that the Task Force's by-pass proposal was unreasonable were invited to submit an alternative proposal.

Alternative By-Pass Proposal

On February 3, 1978, Evelyn Greenberg, Reference Coordinator, Suffolk Cooperative Library System, submitted a NYSILL alternative by-pass proposal. Ms. Greenberg, in her letter of transmittal, indicated that the proposed ideas were discussed with Dave Wilder and Ruth Weber.

The Greenberg proposal recommends the use of ALA forms and the U.S. Mail to send direct access requests to the referral libraries. The full text of this proposal is printed in the Appendix.

Task Force Conclusions on By-Pass Proposal

Since NYSILL's inception, the speedy transmission of interlibrary loan information via a statewide teletype network has been the hallmark of the NYSILL system. There are several elements in the alternative proposal which would make it unusually cumbersome and time-consuming. The use of the ALA form would be reverting to a manual system including a time-consuming record keeping procecedure for both the referral libraries and the State Library. The turn around time, which is now longer than we desire, would be increased several-fold, because of the use of the mails to submit interlibrary loan information. It is the opinion of the Task Force that at the very least a by-pass proposal should be based on (1) the use of the NYSILL computer system to transmit and refer interlibrary loan information as well as to monitor funds and the performance of the State Library and the NYSILL referral libraries; (2) to ensure that the New York State Library could not supply requests in order to be eligible for reimbursement. Further analysis of the Greenberg proposal reveals that the proposal would certainly generate additional costs. Because of these procedures, the Greenberg proposal would not facilitate the rapid and speedy flow of NYSILL information.

Since the Task Force began its work, the Regents have introduced a major legislative proposal for resource sharing. The Regents proposals could include net lending reimbursement, thereby allowing direct access to major local or nearby resources to be implemented in those regions where desired. Because of the legislative proposal and since there seems to be no consensus among the public library systems and the 3R's systems regarding a by-pass proposal, and since only two of the referral libraries

expressed a willingness to support the State Library's by-pass proposal, the Task Force recommends that the by-pass proposal not be implemented until experience with the Regents proposal for regional resource sharing has been evaluated.

Regional Interlibrary Loan Programs

One of the responsibilities of the Task Force was to examine the recommendations of the Checchi Report on Regional Interlibrary Loan in New York State. Most of the recommendations of the Checchi Report are useful in the further development of interlibrary loan programs. However, since the publication of the Checchi Report, the Regents comprehensive legislative proposal A9975/S8252 has been introduced. It provides that the funding for the further development of regional library programs, including interlibrary arrangements, be under this program rather than Special Purposes State Funding as recommended in the Checchi Report.

DOCUMENT DELIVERY ALTERNATIVES

There has not been any truly significant change since our last evaluation of document delivery six years ago. Over the years, the United States Postal Service has continued to provide less than satisfactory service in the delivery of interlibrary loan materials. Because of the vagaries and uncertainty of satisfactory service for the users of NYSILL, it is necessary for us to seek alternative delivery service.

There are several options that we may wish to employ to ensure speedy transfer of NYSILL materials:

1. A commercial carrier such as United Parcel Service
2. A State-run delivery service
3. A State-contracted delivery service
4. Telefacsimile
5. Electronic transmission in digital form

In most of the above methods we would, for all practical purposes, envision the delivery of materials from either the State Library or referral libraries to a region. Within that region, there would still be a need for a delivery service in order to get the materials to a specific requesting library.

When we last explored delivery options in 1971, we discovered that UPS could generally deliver within 2 days almost anywhere in the State (there was never an adequate test of this because the company was on strike during our pilot). We discovered there was a substantial amount of paperwork involved in dealing with UPS because they require bills of lading and specific packaging. There is a minimum charge which made it economically unfeasible to send items to individual libraries but could be an option if we were delivering on a regional basis and could manage the paperwork. There is a limit of 100 pounds per stop per day which would have to be allowed for.

Exploration of a State-operated delivery service included a study of the cost of running our own delivery service using State employees and State vehicles. At the time of the analysis in 1971, this was by far the most economical approach, however, it does have the disadvantage of depending on the uncertainties of State hiring

practices. For example, a job freeze might not allow us to hire a replacement driver for a successful program. Both this option and the third option, contract for services, envisioned a two-vehicle route where one can leave each day and make a round trip through New York City to Garden City, Long Island and the other would head west as far as Rochester. There was the possibility of adding a third vehicle in which case the second would drive from Albany to Syracuse and Ithaca and the third would drive from Watertown to Syracuse and Buffalo with an intermediate stop in Rochester - transfer points would be in Albany and Syracuse.

Another state-operated possibility considered was delivery by the New York State Office of General Services (OGS). An interface with the Office of General Services delivery system was explored and we discovered that OGS will only transport materials being used by State agencies. This restriction will not allow for the free flow of NYSILL materials.

The possibility of contracting for services appeared the most realistic from a service standpoint although more expensive than the State-run operation. This option avoids procurement problems, vehicle maintenance, and supplies, as well as providing assurance that any vacant driver positions can be immediately filled. Both the second and third options would allow us to package materials in whatever manner we desired that would allow for both the safety of material and ease of handling.

Facsimile transmission continues to excite library planners. In 1967 the State Library conducted a major experiment in facsimile transmission. We reexamined the use of facsimile and document delivery in 1971, in connection with the State Library's proposal for a nationwide satellite-based facsimile network. The Bureau of Administrative Analysis staff has recently taken another look at the technology in connection

with its possible use within the Cultural Education Center. It is disappointing to know that the basic technology has not changed since before World War I. Although there has been some minor improvement, the basic helical scan technique is still in use, and it is this technology, along with the interest among the various manufacturers to be compatible with their competition, that restricts copy resolution while requiring substantial transmission times (generally 4 to 6 minutes per page). As of this date there is no unit which is capable of copying directly from a bound original, and most devices require the awkward wrapping of the original text around a drum.

Our initial NYSILL endeavor in the facsimile area was a failure because of the poor quality of the copy and extremely high unit costs for transmission. The unit costs can be brought down somewhat through the use of dial telephone equipment, but costs will remain high. There has been no signficant improvement in resolution so the copy quality remains relatively poor. Xerox was, at the time of the satellite project, working on a device which would have resolved our various concerns about facsimile; however, we are not aware that the unit has ever been publicly announced.

Computer to computer, or computer to terminal, electronic transmission appears attractive on the surface but is prohibitive until high speed character recognition with the flexibility to read from printed pages becomes commonly available. High density video scan techniques are attractive but are discouraged under the current communications tariff policy. Current developments in electronic transmission should be carefully monitored and considered for experimentation and implementation, when there is a breakthrough in technology and costs.

Regardless of what mode of delivery system is developed for the rapid transfer of interlibrary loan materials, it is important that certain conditions be met:

(1) the system should provide for speedy transfer of materials within the State during a period of 24 to 48 hours; (2) the State delivery mechanism should interface with the existing regional delivery systems; (3) the system should provide for the transfer of print and nonprint materials; (4) the system should be cost effective; (5) the system should be flexible to meet changing conditions including new developments in technology.

In view of the many unanswered questions and the imponderables related to this important subject, the Task Force recommends that a special study should be undertaken on document delivery.

NYSILL SUBJECT REFERRAL LIBRARIES

At the meeting with the NYSILL referral libraries, the members of the Task Force discussed the performance of the referral libraries based on analysis of data compiled from the computer-generated matrix for the period July - September, 1977, and compared that period with the last monitored quarter of NYSILL, October - December 1976.

Tables II and III illustrate the individual performance of the referral libraries. An examination of the tables reveals that the performance of most of the referral libraries improved during the July - September 1977 period over the July - September 1976 period. The overall performance of the referral libraries has decreased slightly over the past two to three years. In the early years of

TABLE II

NYSILL Referral Library Fill Rate Comparison October-December Quarters 1975-1976

	1975		1976			
Subject Referral Library	Requests Received	Fill Rate	Requests Received	Fill Rate	% of Change in Requests Received	% Change in Fill Rate
American Museum	578	76%	443	82%	-23	6
Columbia University	2947	41%	2577	48%	-13	7
Cornell University	4427	63%	3970	67%	-10	4
Engineering Societies	1145	64%	1078	66%	-6	2
N.Y. Academy of Medicine*	2257	54%	2368	53%	5	-1
New York Public Library	2222	63%	1976	56%	-11	-7
New York University	222	21%	193	21%	-13	0
Teachers College	428	38%	394	39%	-8	1
Union Theological Seminary	320	56%	324	49%	1	-7
TOTAL SUBJ. LIBRARIES	14,546	56%	13, 323	58%	-8	2
Area Referral Library						
Brooklyn Public	544	16%	875	20%	61	4
Buffalo and Erie	894	29%	617	35%	31	6
Rochester Public	158	24%	151	23%	4	-1
TOTAL AREA REFERRAL	1596	24%	1643	25%	3	1
TOTAL REFERRAL LIBRARIES	16,142	53%	14,960	54%	-7	1

DECEMBER 1977

*The Academy of Medicine receives requests from NYSILL users which are referred directly to RML libraries. Therefore the Academy's NYSILL fill rate is actually 10% higher than indicated on these charts.

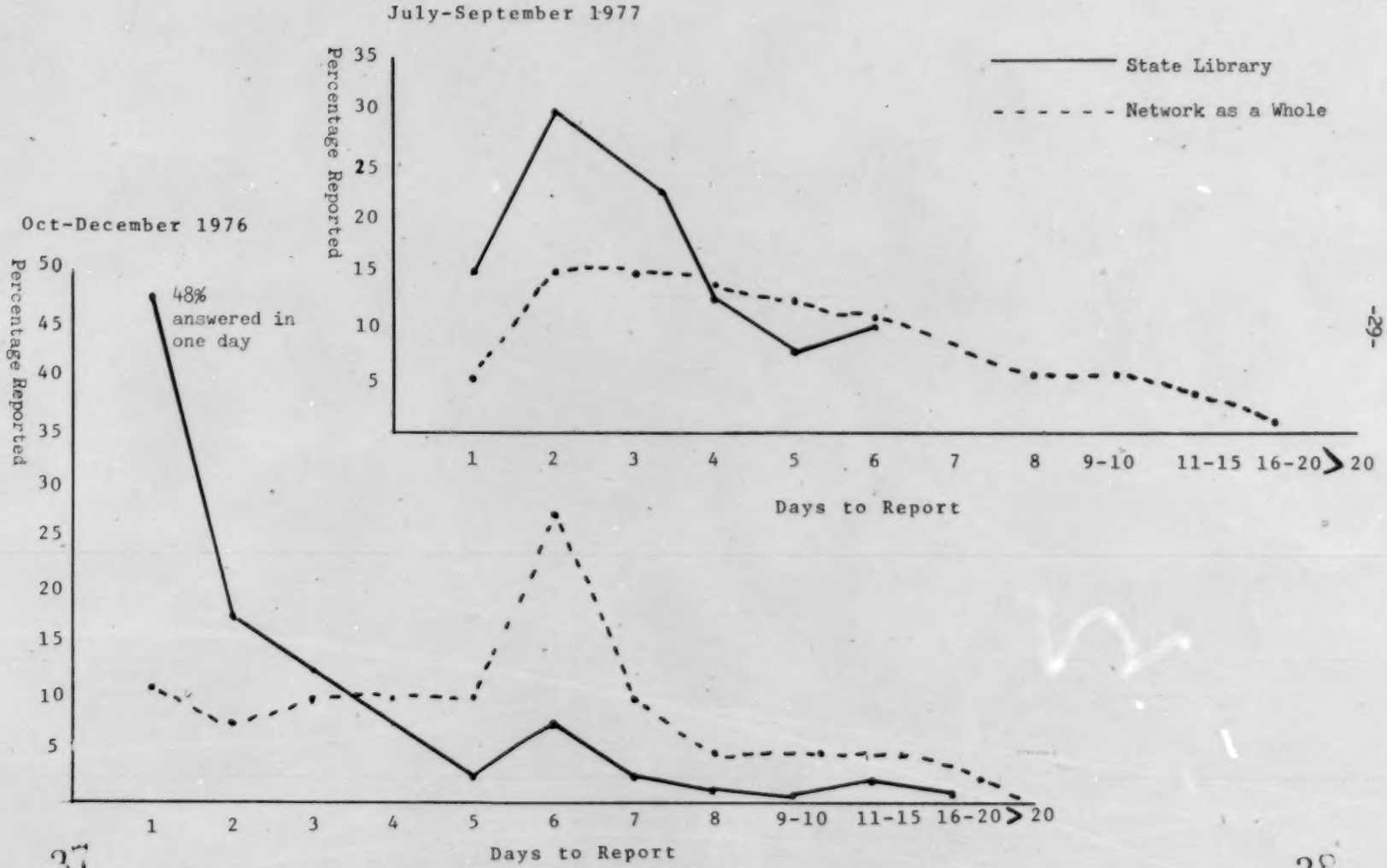
TABLE III

NYSILL Referral Library Fill Rate Comparison - July-September Quarters 1976 and 1977

Referral Library	Requests Received 1976	Fill Rate 1976	Requests Received 1977	Fill Rate 1977	% Change in Requests in 1977	% Change in Fill Rate
SUBJECT REFERRAL LIBRARY						
American Museum	352	83%	353	78%	+ .28	-5
Columbia University	2151	45%	2166	50%	+ .69	+5
Cornell University	3322	67%	3456	65%	+ 4	-2
Engineering Societies	1103	61%	1358	65%	+ 23	+4
N.Y. Academy of Medicine	2016	54%	2160	51%	+ 7	-3
N.Y. Public	1738	51%	1538	49%	- 12	-2
N.Y. University	211	21%	232	37%	+ 10	+16
Teachers College	219	36%	276	38%	+ 26	+2
Union Theological	166	49%	164	49%	- 1	0
SUBTOTAL	11,278	56%	11,703	57%	+ 4	+1
AREA REFERRAL LIBRARY						
Brooklyn Public	662	18%	649	19%	- 2	+1
Buffalo and Erie	543	32%	906	29%	+ 67	-3
Rochester Public	80	17%	169	29%	+ 111	+12
SUBTOTAL	1,285	25%	1,724	24%	+ 34	-1
GRAND TOTAL	12,564	53%	13,427	52%	+ 7	-1

TABLE IV

Elapsed Time - Receipt of Request to Report



NYSILL, the referral library maintained a rather consistent fill rate of 59 percent. In the past two to three years, this has fluctuated around 54-55 percent. Part of the year was briefly discussed in the overview section of this report. Some of the decrease may be due to reduction in acquisitions in the referral libraries.

Although there is not a table to indicate performance at the State Library for the same period of time, in Table I the fill rate of the State Library can be seen and this, too, has decreased to about 38 percent from a high of 45 percent in the early years.

Equally important as fill rate is the turnaround time it takes to process a NYSILL request. The NYSILL computer system is able only to monitor elapsed time for requests for the period of time that the request is in the NYSILL network. Table IV shows that one half of the requests received by the State Library were reported on in one day in 1976 and in 1977 from two to three days. In the network as a whole in 1976, it took between five and six days; in 1977 only four days. Table IV also indicates that the time necessary to clear 90 percent of the requests continues to increase. This increase has been growing at the rate of approximately one day per year during the last two to three years. Part of the reason for the increased turnaround time is the result of staff shortages at both the State Library and in the referral libraries. Verification continues to be a problem with many NYSILL requests, and it entails greater staff time to work on these requests.

Comments of the representatives from the referral libraries supported the Task Force's assumption that the attrition of staff in these libraries, the decrease in acquisitions budgets and other developments had taken their toll on these libraries.

Even the staff shortages in the interlibrary loan unit of the State Library has had a negative influence on the performance record of the referral libraries, e.g., the pressure of referring large volumes of requests sometimes results in referring requests that are not within the contractual responsibility of the referral libraries, thereby decreasing the referral libraries' performance rate.

One of the most positive decisions to emanate from the meeting with the referral libraries was an agreement that the referral libraries would accept interlibrary loan requests outside of their subject responsibility, when their library was a known location for transmittal into the network. All of the representatives from the referral libraries indicated that they were anxious to continue their affiliation and commitment to the NYSILL program. Several of the institutions, such as the Columbia University Library and the New York Public Library Research Libraries, in spite of their affiliation with many other networks around the country, believed that their affiliation with the NYSILL program and their support of the program was integral to their commitment to resource sharing.

Subject Responsibilities of Referral Libraries

It was agreed at the December 13 meeting that E.J. Josey and Jane G. Rollins would meet with the collection development officers and NYSILL librarians of the referral libraries at a later date to refine the subject responsibilities of the referral libraries. This meeting was held on January 19, 1978, and all institutions were represented. The methodology used for reviewing the subject responsibilities was the following. The representatives from each of the referral libraries reviewed the subject responsibilities of his or her institution as listed in the NYSILL Manual. While reviewing the subject responsibilities it was made clear what subjects

the institution could retain or what new subjects the institution would accept as part of its subject responsibility. If an institution felt that its curriculum or collection policy had changed over the years, other institutions present who felt that their collections were strong enough to assume the responsibility, volunteered to be responsible for the subject area in question. While some assignments were decided at that meeting, others were reviewed and forwarded to Library Development at a later date.

In the refinement of the subject responsibilities, the participants agreed to break some of the broad subject categories into sub-divisions which will serve to improve the referral of NYSILL requests in the future. Of real importance is the fact that the monographic back-up for the subject responsibilities of the New York Public Library Research Libraries was assumed by several of the other referral libraries, because the New York Public Library currently is only providing serial information to the NYSILL network except for cases where NYPL serves as a resource of last resort. A copy of the monograph is microfilmed and this microfilm becomes a part of the State Library's collection and is available to users of the NYSILL system.

Revised and refined subject responsibilities of the NYSILL referral libraries are as follows:

American Museum of Natural History

Animal Behavior

Anthropology (especially American Indians and primitive peoples)

Archaeology of primitive areas (excluding archaeology and antiquities)

Astronomy and Space Science

Biology

American Museum of Natural History (con't.)

Evolution

Expeditions (Scientific)

Geology

Limnology

Linguistics of preliterature civilizations

Natural Sciences (including museology, biographies, history, bibliographies and, of course, natural science and history as a subject)

Oceanography

Paleontology

Primatology

Taxonomy, nomenclature, systematics

Zoology

Columbia University

American History

American literature

Anthropology

China

Classical Languages

Classics

Dutch history

French history

French literature

Geology

Geophysics

German history

German literature

International law

Italian history

Italian literature

Japan

Journalism

Library science

Mathematics

Middle East

Modern European Languages

Oceanography

Philosophy

Slavic Studies

Technical reports

Translation from Oriental languages

Cornell University

Agriculture & Natural Resources
- Agricultural business
- Agricultural economics
- Agriculture, general
- Agriculture & farm management
- Agriculture & forestry technologies
- Agronomy
- Animal science
- Dairy science
- Fish, game & wildlife management
- Food science & technology
- Forestry
- Horticulture
- Natural resources management
- Ornamental horticulture
- Poultry science
- Range management
- Soils science

Architecture & Environmental Design
- Architecture
- Environmental design, general
- Interior design

Area Studies
- Asia studies, general
- East Asian studies
- Eastern European studies
- European studies, general
- Latin American studies
- Russian & Slavic studies
- South Asian studies
- Southeast Asian studies
- West Eurcpean studies

Bibliography

Biological Sciences
- Biochemistry
- Biology, general
- Biometrics & biostatistics
- Biophysics
- Botany, general
- Cell biology
- Ecology
- Embryology
- Entomology
- Genetics
- Marine biology
- Molecular biology
- Neurosciences
- Nutrition, scientific
- Physiology, human & animal
- Plant pathology
- Plant pharmacology
- Plant Physiology
- Zoology, general

Business and management
- Insurance - Health & labor compensation
- Labor and industrial relations
- Personnel management

Engineering
- Agricultural engineering
- Environmental & sanitary engineering
- Geological engineering
- Materials engineering
- Petroleum engineering

Fine and Applied Arts
- Fine arts, general
- Music
- Music history & appreciation

Foreign Languages
- African languages
- Chinese
- Foreign languages, general
- French
- German
- Greek, clasical
- Icelandic and Old Norse
- Indian
- Italian
- Latin
- Russian
- Slavic languages
- Spanish

Health Professions
- Veterinary Medicine specialties

Home Economics (Human ecology)

Interdisciplinary Studies
- Biological & physical sciences

Law, U.S.

Letters
- Comparative literature
- Linguistics
- Literature, English
- Philosophy
- Teaching of English as a foreign language

Library Science
- Library science, general

Physical Sciences
- Chemistry, general
- Earth sciences
- Geology
- Geophysics & seismology
- Paleontology
- Physics, general

Social Sciences
- Anthropology
- Archaeology
- Demography serials
- History (backup See area studies)
- International relations
- Political science & government
- Social Sciences, general (backup)
- Rural Sociology
- Slavery

Engineering Societies Library

Bioengineering

Earth science (economic and applied geology, geology and various world regions, meteorology, physical and Dynamic geology)

Mineralogy

Oceanography (equipment for ocean exploration, not marine life)

Optics

Papers and proceedings of engineering conferences

Physics (electricity and magnetism; heat, mechanics, and liquids; molecular, nuclear, and atomic)

Pollution (engineering aspects)

The New York Academy of Medicine Library

Behavioral science - Psychiatry
Bioengineering
Biography - Health Sciences
Cookery - Retrospective
Dentistry
Geriatrics
History of Medicine
Hospital administration
Medical economics & health insurance
Medicine
Nursing, clinical
Nutrition
Psychology - abnormal & clinical
Public Health

The New York Public Library
Research Libraries

Africa
Afro-American History
American History
Astronomy
Canadian History
Economics
English History
English Literature
French History
Geography
Geology
German History
Italian History
Latin America
Latin Literature
Middle East
Music
Netherlands History
Patents
Scandinavian History
Sociology
Spanish History
Spanish Literature
Transportation
U.S. History

New York University

Business and commerce
Economics
English History
English Literature
Puerto Rico (literature and history)
United Nations Documents

Teachers College

Art and music
Business education (pre 1965)
Developmental Psychology
Education
Exceptional Child
Gifted Child
International Education (1915-1935)
Learning Theory
NEA Publications
Social Psychology
Teaching
Textbook Collection K-12
UNESCO Publications

Union Theological Seminary

Afro-American History
Christian Ethics (including death and dying)
Far Eastern Materials
Pastoral Counseling
Philosophy of Religion
Psychology and Religion
Religion
Sacred Music
Sociology of Religion

The foregoing revised subject responsibilities of the referral libraries, in the opinion of the NYSILL Task Force, will strengthen the NYSILL program. The NYSILL Task Force has recommended to the Library administration that the revised subject responsibilities should be reflected in the contracts with the NYSILL referral libraries for the Fiscal Year 1978-79. In the years ahead, consideration should also be given to access to nonprint resources. Although it appears that the refinement of the subject responsibilities will serve NYSILL well in the immediate year ahead, the program will be monitored very closely and if it is deemed wise to add additional subject referral libraries, this will be done.

NYSILL AND COPYRIGHT

On January 1, 1978, the new copyright law went into effect. NYSILL intends to comply fully with the new law. In mid-December a memorandum was sent to directors and interlibrary loan librarians of NYSILL transmission sites, library systems, and referral libraries as well as those libraries that access NYSILL by mail, from Joseph F. Shubert, Assistant Commissioner for Libraries, apprising NYSILL users of procedures to be followed to show copyright compliance in submitting requests to the State Library and the NYSILL Network. These procedures became effective January 1, 1978 and are outlined below.

NYSILL is requiring that the copyright compliance codes recommended by the American Library Association be used. These are CCG which indicates that a request is in compliance with the guidelines for photocopy which were formulated by the Commission on New Technology Uses (CONTU), and CCL which indicates that the request complies with other aspects of the law. Originally, NYSILL required a copyright compliance to be on all NYSILL requests and not just on those requests to be filled by photocopy. The directors of public library systems and reference and research library resources systems and the systems interlibrary loan librarians registered a protest regarding this requirement at a NYSILL meeting held in Albany on January 5, 1978. They believed the procedures would lead to misunderstandings among their members.

After that meeting, the State Library reviewed the matter of NYSILL and copyright and a revised memorandum was issued on January 16 which stated "the borrowing library must indicate on each interlibrary loan request requiring photocopy that the request is in compliance with the copyright law." These procedures are currently in force and represent the NYSILL copyright policy.

FUTURE AUTOMATION OF NYSILL

Over the last eight years NYSILL has processed a substantially increased number of requests with a decreasing staffing level. In response to these factors and as a means of maintaining network services, an ongoing automation program has been mounted. In each of four stages, the emphasis was placed on the functions which were most labor-intensive at the time. This program is, to a very large extent, responsible for the library's ability to continue providing interlibrary loan service. There are several specific areas where further development could make a significant contribution. These are as follows:

1. The ability to search automatically the State Library's machine-readable catalog and circulation records.

   It is considered desirable to extend access to the State Library's automated catalog to all NYSILL transmission sites so that they will have knowledge of what materials the Library has prior to initiating a NYSILL request. It is anticipated that this will occur in 1982-83.

2. An interface between NYSILL and OCLC.

   The State Library automated catalog is scheduled to be operational early in 1979, with author, title, limited subject and call number search capability. Within the following year we will provide Boolean search capability against additional data elements in this file and tie-in circulation records. Following these steps would be the implementation of automatic searching for incoming NYSILL requests. Several years ago, the State Library and SUNY negotiated with OCLC concerning a possible interface utilizing a minicomputer.

2. (con't.)

New York State for the purpose of concentrating communications and local switching. The following are some considerations which grew out of discussions and subsequent changes in the environment:

a. OCLC plans to launch an interlibrary loan program. If this effort is successful the program will be extended on a networkwide basis to nearly 1800 libraries throughout the country.

b. A proposal for an automated interface between NYSILL and OCLC was presented to Fred Kilgour, Director of OCLC, in 1977. The money to fund the effort was requested in the 1976-77 supplemental budget and not allocated. The interface would have improved all communication between New York State and OCLC in a minicomputer and would have provided substantial benefits to all phases of OCLC relationships with libraries in New York State as well as providing convenient terminal access between all OCLC participants in the State. This proposal would have substantially increased communication between many libraries in New York State without significantly increasing costs.

c. Detailed interface procedures were worked out and these operated on the principle that all communication between individual libraries in New York State was a matter between the parties concerned. For example: If SUNY at Postdam wishes to go directly to Cornell via OCLC for an interlibrary loan request, the financial arrangements, if any, would be between the two institutions and would involve neither the State Library nor OCLC. It would be possible for OCLC member libraries outside the New York State to access the State Library.

d. Unless a way can be found to proceed rapidly in the OCLC interface, and since OCLC is planning to implement its interlibrary loan package, the State Library will have to determine what type of manual procedures ought to exist. The State Library is currently working with the SUNY network toward identification of technical requirements for an interface.

e. Whether the OCLC interlibrary service will be faster than NYSILL can only be determined with time and experience. In the meantime, there will be a significant impact on the NYSILL program as libraries experiment with other options.

f. During discussions of the OCLC interlibrary loan advisory committee many participants indicated that their libraries intended to charge for interlibrary loan services. OCLC will charge for transmission and record keeping.

It is considered desirable to extend access to the State Library's automated catalog to all NYSILL transmission sites so that they will have knowledge of what materials the Library has prior to initiating a NYSILL request. It is anticipated that this will occur in 1982-83. It is recommended that further automation of NYSILL proceed as rapidly as possible including the ability to search automatically the State Library's machine-readable catalog and circulation records and efforts be made to ensure an interface with other bibliographic networks.

TELETYPE ACCESS TO NYSILL

In 1970, the State Library established guidelines* for teletype access to NYSILL and for expanding the teletype network. One of the principles which undergird the networking and resource sharing concept in New York State is the encouragement of the utilization of regional resources prior to entry into the NYSILL network. Libraries were urged to use regional interlibrary loan programs, which have the capability to teletype unmet requests into NYSILL,rather than seek independent access to NYSILL. While libraries were not denied entry into the network if they chose an independent access route (i.e., the U.S. Mail), it was made clear that teletype was the preferred entry into NYSILL

The ability of the computer to handle the increased activity in the network and the State Library's requirement that a candidate for teletype access have a sufficient volume of requests were basic to the NYSILL teletype guidelines. The policies developed and accepted are as follows:

1. Of the total number of entry points in the teletype network, each region is apportioned a certain number. The 3R's Councils were urged to work out what they consider to be the access priorities in their own areas.

2. Councils were urged to coordinate the entry of interlibrary loan from their areas into NYSILL.

3. In addition to the libraries accessing NYSILL via regional programs, a second group of libraries are allowed entry "correlated with existing service and projection of needs in each area." The policies affecting this group of libraries are the following:

*See Appendix II Page 53

a. When the policy was first established all libraries with the capability to teletype their occasional requests were granted entry. Since the adoption of the foregoing concept, regionalization of ILL was put into effect (See Item 2 Above). Libraries that own a teletype are urged to communicate their requests to the councils* to be checked regionally; direct requests to the State Library receive lower priority than those for which a serious attempt has been made to fill locally.

b. Within the restraints of the regional teletype access plan, libraries are allowed access on a first-come, first-served basis providing that they can precisely demonstrate a required level of request activity.

c. The level of request activity necessary for entry into the network has not been defined but must be of sufficient quantity to warrant teletype access.

The role of the 3R's councils in the NYSILL system is and will continue to be of critical importance to the successful operation of the network. Library Development recognizes the important role that the councils must assume in providing greater utilization of regional resources and the problems the councils incurred in having to fund NYSILL teletype access. Library Development has consistently sought State funding for regional interlibrary loan, including the costs of supporting regional teletype access, through legislative appropriation.

It appears that legislation for regional intersystem cooperation will pass this year and additional funding will become available. If it does not pass, Library Development must re-examine funding for NYSILL teletype operations.

*A variation of this policy applies in METRO where CUNY libraries send their requests through Queens College.

RECOMMENDATIONS

The following conclusions and recommendations have grown out of the study and deliberations of the NYSILL Task Force:

1. An interface between existing computerized bibliographic and location information be pursued, in conjunction with the implementation of an interface between NYSILL and OCLC. The enhancement of these data bases by the addition of retrospective holdings information should be accelerated. The State Library should proceed with plans to make its bibliographic data bases accessible on-line throughout the State in support of the NYSILL Network.

2. In conjunction with officers of the Regional Medical Library Program, and other affected parties, relationships with that program be further developed and improved to provide statewide quality service for medical and health science requests and to insure the best use of Federal and State money.

3. The present hierarchical structure of NYSILL be retained, since the key elements on which it is based are still relevant to effective interloan service in the State, but that the impact of other developing networks should be carefully assessed. The State Library should aggressively participate in national network planning, to insure full State participation in such networks.

4. That the use of resource centers outside the State be explored, but that negotiations with the Center for Research Libraries should be resumed only if the Center changes its pricing structure.

5. That the State Library more stringently enforce verification requirements and that periodic workshops be held for staff of requesting libraries.

6. When the location of an item is known, it is recommended that the requesting library may indicate this fact in the note field and that referral libraries honor such requests even though they are not within their subject contractual responsibility.

7. Representatives of the subject referral libraries and Library Development staff have examined and refined the subject responsibilities of the subject referral libraries, and it is recommended that the revised subject responsibilities be reflected in the 1978-79 contracts with the referral libraries.

8. The NYSILL Network continue to comply with the new copyright law and will aid libraries in understanding NYSILL procedures relating to copyright.

9. A study be undertaken to determine a viable delivery system for the NYSILL program.

10. It is recommended that further automation of NYSILL proceed as rapidly as possible including the ability to search automatically the State Library's machine-readable catalog and circulation records and efforts be made to ensure an interface with other bibliographic networks.

11. That the NYSILL by-pass proposal should not be implemented until experience with the Regents proposal for regional resource sharing has been evaluated.

12. That further development of regional interlibrary loan be funded under the Regents proposal A9975/S8252 rather than under Special Purposes State Funding.

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APPENDIX I

The Cornell Direct Access Proposals

Proposal I

To alleviate the strain on the NYSILL system in this difficult period and especially during the State Library's move, Cornell University Libraries (CUL) is prepared to fill from its collections all requests submitted by SCRLC to the NYSILL system. Reimbursement from the State would be at the current NYSILL rate of $2.50 per search and $3.00 per item filled. Items not filled would be transmitted as usual to the State Library for filling or referral.

If need be, in order for Albany to keep track of these direct fills as a cross check on our own statistics, all requests can be entered into the computer with no changes in the field format but with somewhat truncated entries. By coding these requests Ineligible and entering in the N field NIC-P or NIC-PB, there should be no problem of inadvertently referring theserequests elsewhere, or of the State Library filling them. A standard reply program would also have to be run. If such a computer check is not necessary from NYSILL's point of view, the proposed system would work just as well without it.

This proposal will relieve the State Library staff of some 5,000 requests per year to be searched, processed and/or referred. The public image of NYSILL in the SCRLC area will be greatly enhanced and the users will be better served.

Proposal II

By using the State Library catalog on microform and OCLC, BARC will transmit to Albany only those SCRLC requests known to be at the State Library. CUL will search and fill directly all requests not at the State Library. Items not filled will go on to Albany for referral. Reimbursement will be at standard NYSILL rates for search and fill. This will reduce by at least 2,000 the number of fruitless searches done by the State Library staff. It will not affect the total reimbursement by NYSILL to referral libraries, except to the extent that total requests rise. It will save every requestor from one to two weeks' delay. Computer records, if necessary, to be set up as in Proposal I.

Proposal III

CUL will search and fill directly only those SCRLC requests which are 1) not at the State Library and 2) within the subject fields assigned it by the NYSILL contract. Transmittal, reimbursement, savings to State Library and improved service as above, but affecting about 1800 requests per year. Total NYSILL payments to CUL identical to what we would receive under present conditions.

NYSILL TASK FORCE BY-PASS PROPOSAL

A. Submission and Referral

1. Direct access or by-pass requests would be submitted to the State Library computer by the NYSILL transmission sites for pass through to the referral libraries.

2. By-pass requests would carry a special NYSILL code and must have a designated referral library.

3. The computer will sort the by-pass requests per designated referral library for automatic referral to the referral libraries.

(a) Mode of referral to be determined

1. Separate listing from regular NYSILL referrals.

2. Merged with regular NYSILL referrals--retained NYSILL by-pass code.

3. No distinction made at time of referral.

B. Subsidy Eligibility

1. By-pass requests which could not have been filled at the State Library will be eligible for full or partial NYSILL subsidy (Fill fees and search fees)

2. By-pass requests which State Library could have filled will not be available for NYSILL subsidy.

3. By-pass requests which are rejected by the referral libraries because of inadequate citations will not be eligible for NYSILL subsidy, and these requests will not be counter searched at the State Library.

C. Billing Procedures

1. Data for billing will be gathered by the computer.

   (a) Some adjustments to the current statistical programs will be needed to ensure that data reflects only those requests which contain appropriate dates for any given quarter.

2. Two options for billing NYSILL transmission sites.

   (a) State Library bill the transmission sites for by-pass requests which the State Library could have filled and for those with inadequate citations, if any.

   (b) The State Library prepares a bill for each referral library for those by-pass requests outlined in (a) and submits bills to the transmission sites on behalf of the referral libraries.

D. Payment to Referral Libraries

1. Set up a revolving fund at the State Library from which payments to the referral libraries could be made to cover by-pass requests. Funds expended would be recovered by billing the transmission sites for by-pass requests ineligible for subsidy. The transmission sites would pay the State Library directly for these requests.

2. Transmission sites pay the referral libraries directly.

   (a) Bills would have been sent to the transmission sites by the referral libraries, (2b) above. (State Library prepares bills)

E. Communications costs for By-Pass Requests Ineligible for NYSILL subsidy

1. The State Library will charge 40 cents for every by-pass request which the State Library could have filled. This charge will cover message switching, communications and record keeping. It is the same fee which OCLC has proposed for its ILL program.

GREENBERG DIRECT ACCESS PROPOSAL

PROCEDURE FOR TRANSMISSION SITES TO
DIRECTLY APPROACH NYSILL REFERRAL LIBRARIES

I. Mode of Transmittal - ALA Interlibrary Loan Forms are to be mailed directly to the Referral Libraries.

II. Regulations for use of the Form.

A. At the top of the form (just above and to the left of the "A") the words NYSILL BYPASS must appear in all capitals.

B. A return-address label must be included. Only Transmission Site addresses may be used.*

C. The material requested MUST meet NYSILL requirements for (E) Eligible requests. All regulations apply.

D. Verification MUST be given and Books in Print is NOT an acceptable verification.

E. Along with verification, a source of location information must be cited e.g., Printed National Union Catalog, notification from NUC, Washington, or citation to a data base such as OCLC. Special Note: If (N) New York State Library is listed in NUC as a location, the material is NOT eligible for "Direct Approach".

*Standard ALA Interlibrary Loan Form procedures include the sending of parts A, B, and C of the form to the lending library and retention of Part D by the borrowing library. Although the transmission site is NOT the borrowing library it must keep records and notify borrowing libraries of request status. Best control is insured if the form and label bear the Transmission Site address and a delivery system from the Transmission site to the borrowing institution is used. Exceptions to this policy MAY be granted and the borrowing library address used on labels and form. In this case, Part D must be sent to the borrowing library when A B & C are sent to the lender.

Procedural note: Standard procedure in using ALA forms calls for the lending library to send parts B and C via first class mail as a notice of mailing. In the majority of cases treated here part B, only, will be sent (see III below). In cases where there is an existing delivery system between the referral and borrowing library part B will be placed inside the volume being sent. Mailing labels may be unnecessary in these latter cases.

III. Record keeping - Part A (white) and Part C (pink) on the ALA Interlibrary Loan Form are retained by the Referral Library at the completion of the transaction. Part C is sent to a designated office at NYSILL once a month, for analysis and record keeping.

A. During the first two months of the use of this "Direct Approach" there should be a grace period for transmission sites to get used to regulations, etc. During this time NYSILL will provide the Referral Libraries with a printed form** to use in retaining (unsearched), any attempted use of the system that does not fit the criteria and regulations agreed to. Copies of these returned are sent to a designated NYSILL staff member.

B. Referral libraries should alert NYSILL to any abuser of the "Direct Approach" so that appropriate penalties may be levied.

IV. Funding.

Referral libraries will be re-imbursed in the same way as for non-bypass items. No additional NYSILL budgeting should be needed. If funds do become short it may be necessary to curtail bypass activities for a short period after consultant with a representative group of referral and transmission libraries.

V. Implementation.

A. A meeting of representatives of Referral libraries, Transmission sites and NYSILL personnel will be called to discuss and agree on any changes in the above procedures. Among the added points for discussion should be an understanding that "regional clearance" is not generally a fact. This document should be sent to all participants in the meeting at least one week prior to attendance.

B. Target date for implementation should be set.

**The enclosed request is being returned to you for the reasons checked below. The NYSILL Referral Library returning this request and form has been directed NOT to search this item in their catalog. If you have any questions regarding this response, it should be directed to: _____ _____, NYSL, Albany _____.

The enclosed request, does not indicate "NYSILL BYPASS". See Procedure For Transmission Sites to Directly Approach NYSILL Referral Libraries.

No Return-Address label included. See Procedure For Transmission Sites To Directly Approach NYSILL Referral Libraries. Number II B.

The material requested does NOT meet NYSILL requirements for ELIGIBILITY. See Procedure For Transmission Sites To Directly Approach NYSILL Referral Libraries. Number II C and NYSILL manual page.

(footnotes continued)

Request is not verified. See Procedure For Transmission Sites to Directly Approach NYSILL Referral Libraries. Number II D.

Books in Print is NOT an acceptable verification. See Procedure For Transmission Sites to Directly Approach NYSILL Referral Libraries. Number II D.

No source of location information is cited. See Procedure For Transmission Sites To Directly Approach NYSILL Referral Libraries. Number II B.

THE UNIVERSITY OF THE STATE OF NEW YORK
THE STATE EDUCATION DEPARTMENT
ALBANY, NEW YORK 12224

THE NEW YORK STATE LIBRARY
JOHN A. HUMPHRY
ASSISTANT COMMISSIONER FOR LIBRARIES

DIVISION OF LIBRARY DEVELOPMENT
JEAN L. CONNOR, DIRECTOR
474-4970

February 18, 1970
MEMORANDUM

To: Executive Directors of the Reference and Research Library Resources Systems

From: Jean L. Connor

Subject: Planning for an Expanded Teletype Access to the NYSILL Network

I. The Problem

1. "What is the existing and potential number of teletype access points to NYSILL?"

Since we are using a system of dial-up terminals (teletypes) there is in theory, no limit to the number of users who could call into the NYSILL network. However, this requires a free line to call on, the ability to edit, organize, store and retrieve requests and their related status files.

It is now planned to utlilize two of the five possible data phone lines. These two will handle 50% of all present requests, this load should peak at 7-10,000 requests per month or around 4-500 requests per day.

All five data phone lines could be used raising the DP capacity to 1200 requests per day while the number of TWX lines could be doubled giving a total capacity of around 2,200 requests per day.

We have recognized, in planning for the automation of NYSILL, that new procedures would have to be implemented gradually:

a. To provide adequate orientation for clerical and professional employees in the participating libraries,
b. To provide additional trained staff as needed to expedite the movement of requests through the network,
c. To provide adequate computer capability to handle increasing work loads.

Our present projections indicate that the number of requests handled by NYSILL will increase at a rate of over 20% per year. This projection does not include mail requests, which still comprise a very substantial percentage of requests received at the State Library. The number of interlibrary loan requests processed by the State Library for the fiscal year ending March 1969 was approximately 125,000, and the projected figure based on an estimated 20% increase for the fiscal year ending March 1970 is approximately 145,000.

The new computer appears to be under even more severe restrictions than initially envisioned due to deficiencies in manufacturer supplied terminal support software. This is being resolved with the assistance of CDC but is placing a strain on our staff and will cause a considerable delay in the next phase of the automation plans.

In discussing the computer based problems with our systems people, we have come up with a rough idea of the maximum number of terminals.

The system was initially designed for between 40 and 50 terminals. There are now 52. Within a year of the time the system goes up this number can probably be expanded to 75. A five year goal might be in the area of 200 terminals having access to NYSILL.

2. "Region by region indicate how the number of entry points in the teletype network would be allocated."

There are two steps, in the short run about 25-30 access points will be divided up, with an additional 125 within the next five years. Considerable thought should go into how the first group is to be apportioned. Here it is hoped that the councils can be of great assistance by each working out what they consider to be the access priorities in their own areas. The second group is sufficiently large that the guidelines should probably not be as closely drawn. This group should be correlated with existing service and projection of needs in each area.

3. "What should be our policy on a request from a library for entry into teletype network?"

a) We should encourage all libraries with the capability to teletype their occasional requests that require special attention.

b) Within the constraints set in section 2, the libraries ought to be allowed access on a first come first served basis providing that they can precisely demonstrate a required level of request activity.

All decisions should be subject to re-examination if the use falls below the anticipated level or network patterns change.

c) The level of request activity necessary for entry into the network needs further definition. The level revolves around the interface between the machine and manual systems for keeping track of request status. It is desirable that the manual system be kept as simple as possible with the maximum amount being done by the computer. Where is the cut off point in terms of number of request per day, 20, 30, 40? This is obviously a question that will require careful study by both the operating and administrative people concerned.

d) One of the primary responsibilities of the councils is to encourage interlibrary loan among its members. Libraries should be urged to use local interlibrary loan programs which teletype unsatisfied requests into NYSILL rather than seek independent access to the network.

e) The library should be informed of the necessary requipment modification for NYSILL access and the 12-15 week lead time.

f) Applications should be entertained only at specific times of the year in order to facilitate equipment modification and coordinate the extensive training which will become more and more necessary.

g) We will be cautious of University branch libraries which wish direct entry into the network. Particular attention should be paid to their average load and relationship with their main library.

If a branch of a University library is given teletype access to the network, it should be clearly understood in advance that they do not have direct access to the referral libraries.

II, Additional Information Needed

1. "What are the facts that we need to know to work out a plan showing the number of entry points in an effective system?"

Councils help us here.

a) Do we need information from the regions?
Yes, Information from the Councils as to which institutions they would like to participate could be a big help in distributing the available positions. Of equal importance is knowledge of local arrangements designed to feed into NYSILL.

L.D.D. will pursue

b) Do we need information regarding computer capacity from the EDP Division?
Yes! There are serious problems concerning available processing time, core storage requirements and terminal access which must be resolved.

c) What do we lack in terms of information that we must have in order to make sound decisions?
We need information on anticipated request load, work patterns in the ILL Unit and computer capabilities.

2. Careful thought should be given to a contingency plan that would consider problems resulting from: an unexpectedly rapid growth rate, a static staffing pattern and an expanding work load or insufficient money for referrals.

III. Recommendations

1. Divide available access points among Council areas on the basis of need expressed in terms of level of activity and traffic problems.

2. Within a council area individual applications for teletype access to NYSILL will be considered in the order received by DLD.

a) Each council's priorities for teletype access, as communicated to the Division of Library Development, will be taken into account.

b. An appropriate level of request activity must be demonstrated and maintained.

c. Teletype equipment must meet and continue to meet network specifications.

d. Additional local access points must be financially supported locally.

3. Branches of Universities should be encouraged to go through their main libraries. However, if the quota for a region has not been filled a branch may be given permission to enter the network provided that it agrees in advance to surrender its position to the next unserved institution meeting the minimum criteria. Application must have the approval of the University Librarian.

4. Branches of 1,000,000 volumes university libraries will not be given direct access to subject referral libraries.

5. There is a need for further study of communications problems, traffic problems, computer capabilities and limitations, staffing and financial support.

6. All decisions on entry into the network will be arrived at jointly by the State Library and the Division of Library Development. D.L.D. will receive the applications and will notify the field of action taken.

Jean L Connor